



2 / R.T.
Revoc.
w/P.O.A.
PATENT
Docket No. 220.00010150 (A.E.)
already
in system

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Eric T. Kool) Group Art Unit: 1645
Serial No.: 09/997,931) Examiner: Unknown
Confirmation No.: 5355)
Filed: November 30, 2001)
For: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

RECEIVED
JUL 0 8 2002
TECH CENTER 1600/290

COPY OF PAPERS
ORIGINALLY FILED

**ELECTION UNDER 37 C.F.R. §3.71, REVOCATION,
POWER OF ATTORNEY, AND CERTIFICATE UNDER §3.73(b)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The Assignee, University of Rochester, of the entire interest in the above-identified application hereby elects, under 37 C.F.R. §3.71, to prosecute the application to the exclusion of the inventor.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

| | |
|-----------------------|-----------------|
| Adams, Matthew W. | Reg. No. 43,459 |
| Albin, Loren D. | Reg. No. 37,763 |
| Franklin, Kathleen L. | Reg. No. 47,574 |
| Gebhardt, Mark J. | Reg. No. 35,518 |
| Huebsch, Joseph C. | Reg. No. 42,673 |
| Johnson, Nancy A. | Reg. No. 47,266 |
| Mueting, Ann M. | Reg. No. 33,977 |
| Provence, David L. | Reg. No. 43,022 |
| Raasch, Kevin W. | Reg. No. 35,651 |
| Sandberg, Victoria A. | Reg. No. 41,287 |

as its attorney or agent (with full powers of appointment, substitution and revocation) to prosecute the application, and any division, continuation, continuation-in-part, reexamination or reissue thereof, to make alterations and amendments therein, and to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent.

Election Under 37 C.F.R. §§3.71, Revocation, Power of Attorney and Certificate under §3.73(b) Page 2 of 2
Serial No.: 09/997,931
Confirmation No.: 5355
Filed: November 30, 2001
Title: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

Please send correspondence to the following address:

Attention: Victoria A. Sandberg
Mueting, Raasch & Gebhardt, P.A.
P.O. Box 581415
Minneapolis, MN 55458-1415
Customer Number 26,813



26813

PATENT TRADEMARK OFFICE

University of Rochester, a corporation organized and existing under and by virtue of the laws of the State of New York, and having an office and place of business at 518 Hylan Building, Rochester, New York 14627, certifies that it is the assignee of the entire right, title, and interest in the patent application identified above by virtue of an assignment from the inventor, a copy of which is attached. I have reviewed all the documents in the chain of title of the patent application identified above and, to the best of my knowledge and belief, title is in the assignee identified above.

I am empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

UNIVERSITY OF ROCHESTER:

April 22, 2002
Date

Mark S. Coburn
Signature

Mark S. Coburn
Associate Provost and Director
Office of Technology Transfer
Typed or Printed Name

Title

ASSIGNMENT

Whereas I, Eric T. Kool, with residence and citizenship as indicated below; have made an invention in

CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

Filed: November 30, 2001

Serial No.: 09/997,931

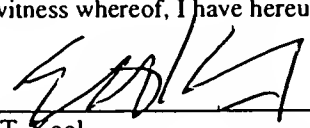
and executed an application for Letters Patent of the United States of America based thereon;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, I have agreed to assign and transfer and do hereby assign and transfer unto University of Rochester ("Company"), a corporation of New York, having its principal office at 518 Hylan Building, Rochester, New York 14627, its successors and assigns, the entire right, title, and interest in and to said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in said invention made by me or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by the Company of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any continued prosecution application, divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by me had this assignment and transfer not been made;

I do further agree for myself and for my heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as I lawfully may, that may be deemed necessary by the Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And I do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to University of Rochester as the assignee of the entire right, title, and interest therein.

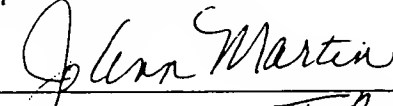
In witness whereof, I have hereunto signed my name on the day and year set forth below.


 Name: Eric T. Kool
 Address: 859 Esplanada Way, Stanford, CA 94305
 Citizenship: U.S.A.

4/13/02
 Date

STATE OF INDIANA)
) ss.
 COUNTY OF Boone)

On this 13th day of April 2002, before me personally appeared Eric T. Kool, to me known to be the person described in and who executed the foregoing instrument, and he/she executed the same for the uses and purposes therein set forth.


Glenn Martin
 My Commission Expires June 5, 2007
Resident Boone County, Ind.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1635
RECEIVED

JUL 08 2002

TECH CENTER 1600/2900

Applicant(s): Eric T. Kool

Group Art Unit: 1635

Serial No.: 09/997,931

Examiner: S. McGarry

Filed: 11/30/01

Docket No.: 220.00010150

Conf. No.: 5355

Title: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

COPY OF PAPERS
ORIGINALLY FILEDAssistant Commissioner for Patents
Washington, DC 20231

We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ **Small entity status is entitled to be asserted in the above-identified application.**
- ☒ An itemized return postcard.
- ☐ A Petition for Extension of Time for __ month(s) and a check in the amount of \$__ for the required fee.
- ☐ An Information Disclosure Statement (__ pgs); 1449 forms (__ pgs); and copies of __ documents.
- ☐ A check in the amount of \$__, representing __.
- ☐ A certified copy of a __ application, Serial No. __, filed ____, the right of priority of which is claimed under 35 U.S.C. §119.
- ☒ Other: Election Under 37 C.F.R. § 3.71, Revocation, Power of Attorney, and Certificate Under § 3.73(b) and attached copy of executed Assignment (3 pgs).
- ☐ Amendment __ No Additional fee is required. __ The fee has been calculated as shown:

| Fee Calculation for Claims Pending After Amendment | | | | | |
|---|------------------------------------|-----------------------------|-----------------------------------|---------------------------|--------------------------|
| | Pending Claims after Amendment (1) | Claims Paid for Earlier (2) | Number of Additional Claims (1-2) | Cost per Additional Claim | Additional Fees Required |
| Total Claims | | | | x \$9 = | |
| Independent Claims | | | | x \$42 = | |
| One or More New Multiple Dependent Claims Presented? If Yes, Add \$140 Here → | | | | | |
| Total Additional Claim Fees Required | | | | | |

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

CERTIFICATE UNDER 37 C.F.R. §1.8: The undersigned hereby certifies that this Transmittal Letter and the paper(s), as described hereinabove, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on this 24th day of June, 2002.

MUETING, RAASCH & GEBHARDT, P.A.

Customer Number: 26813



26813

PATENT TRADEMARK OFFICE

By: Victoria A. Sandberg

Name: Victoria A. Sandberg

Reg. No.: 41.287

Direct Dial: 612-305-1226

Facsimile: 612-305-1228

(SMALL ENTITY TRANSMITTAL UNDER RULE 1.8)